

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No. 10/085,497
Filing Date 2/26/2002
Confirmation No. 8699
Inventorship Mark A. Tschiegg
Applicant Employers Reinsurance Corporation
Group Art Unit 2168
Examiner Greta Lee Robinson
Attorney's Docket No. 85ER-00119/ER1-0006US
Title: Risk Management Information Interface System and Associated Methods

INFORMATION DISCLOSURE STATEMENT

References -- See Attached Form PTO-1449

REMARKS

The citations listed are submitted in compliance with the duty of disclosure defined in 37 CFR §1.56. The Examiner is requested to make these citations of official record in this application.

Respectfully Submitted,

Date: September 15, 2006

By: David M. Huntley
David M. Huntley
Reg. No. 40309

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STATEMENT BY APPLICANT**
 (Not for submission under 37 CFR 1.99)

Application Number	10085497
Filing Date	2002-02-26
First Named Inventor	Mark A. Tschiegg
Art Unit	2168
Examiner Name	Greta Lee Robinson
Attorney Docket Number	85ER-00119/ER1-0008US

U.S.PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code†	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	5852819		1998-12-22	Beller	
	2	6023694		2000-02-08	Kouchi, et al.	
	3	6631382		2003-10-07	Kouchi, et al.	

If you wish to add additional U.S. Patent citation information please click the Add button.

U.S.PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code†	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	20020133504	A1	2002-09-19	Mahos, et al.	
	2	20020138318	A1	2002-09-26	Ellis, et al.	
	3	20030036067	A1	2003-02-20	Kaushikkar, et al.	

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	4	20030120589	A1	2003-06-26	Williams, et al.	
	5	20030160818	A1	2003-06-28	Tschiegg, et al.	
	6	20030191780	A1	2003-10-09	Heger, et al.	
	7	20030229509	A1	2003-12-11	Hall, et al.	

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FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² i	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	Ts
	1	EP1209851	EP		2002-05-29	Xerox Corporation		<input type="checkbox"/>

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	Ts
	1	Beroggl, et al., "Operational Risk Management," IEMC '98 Proceedings, 1998, pp. 447-451.	<input type="checkbox"/>

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EXAMINER SIGNATURE

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

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CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

- See attached certification statement.
 Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
 None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	9-15-2006
Name/Print	David M. Huntley	Registration Number	40309

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.